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IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Scott Leerssen et al.

Application No.: 09/896,242

Filing Date: June 29, 2001

Title: SYSTEM AND METHOD FOR AUDITING SYSTEM CALL EVENTS WITH SYSTEM CALL WRAPPERS

Confirmation No.:

Examiner: N/A

Group Art Unit: N/A

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

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This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a petition under 37 CFR 1.97(d)(2), and
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

☐ I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231. Date of Deposit: June 26, 2002

OR

☐ I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number _____ on _____

Number of pages:
Typed Name: Gail L. Miller

Signature: Gail Miller

Respectfully submitted,

Scott Leerssen et al.

By

Jody C. Bishop
Jody C. Bishop

Attorney/Agent for Applicant(s)
Reg. No. 44,034

Date: June 26, 2002

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Sheet 1 of 3

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10013503-1

APPLICATION NO.

09/896,242

CONFIRMATION NO.

APPLICANT

Scott Leerssen et al.

FILING DATE

June 29, 2001

GROUP

N/A

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A				
	1B				
	1C				
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	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	Hewlett-Packard Virtual Vault "Administrator's Guide," HP Part No. B5413-90061, Release A.04.50, E0401, printed 2001, pages ii-xii, and 1-224. Available online at http://docs.hp.com/hpux/pdf/B5413-90061.pdf .
1R	Hewlett-Packard Trusted Solaris Administration Overview, Chapter 3, "Administering Trusted Networking," - December 2000, pages 71-78. Available online at http://docs.sun.com/ab2/coll.175.4/TRSOLADMINOV/@Ab2PageView/4120?Ab2Lang=C&Ab2Enc=820-8859-1 .
1S	Hewlett-Packard Trusted solaris Administration Overview, Chapter 4, "Administering Auditing," - December 2000, pages 87-99. Available online at http://docs.sun.com/ab2/coll.175.4/TRSOLADMINOV/@Ab2PageView/5573?Ab2Lang=C&Ab2Enc=iso-8859-1 .

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ATTY. DOCKET NO.

13502-1

APPLICATION NO.

09/896,351

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APPLICANT

Joubert Berger et al.

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	2P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	HP Praesidium VirtualVault "Concepts Guide," HP Part No. B5413-90051, Release A.04.00, E1199, printed 199, pages ii-viii, and 1-82. Available on-line at http://docs.hp.com/hpux/pdf/B5413-90051.pdf .
2R	Sun Microsystems "Trusted Solaris Audit Administration," Trusted Solaris 8, Sun Microsystems Part No. 805-8121-10, December 2000, pages 1-342. Available on-line at http://docs.sun.com/ab2/coll.175.4/TRSOLAUDADMIN/@Ab2TocView?AAb2Lang=C&Ab2Enc=iso-8859-1 .
2S	Sun Microsystems "Compartmented Mode Workstation Labeling: Encodings Format," Sun Microsystems Part No. 805-8123, December 2000, pages 1-176. Available on-line at http://docs.sun.com/ab2/coll.175.4/TRSOLLBLADMIN/@Ab2TocView?Ab2Lang=C&Ab2Enc=iso-8859-1 .

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	3L					
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OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

3Q	Sun Microsystems "Trusted Solaris User's Guide," Sun Microsystems Part No. 805-8115-10, December 2000, pages 1-133. Available on-line at http://docs.sun.com/ab2/coll.175.4/TRSSUG/@Ab2TocView?Ab2Lang=C&Ab2Enc=iso-8859-1 .
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